



IFW

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No. 6328**  
John SURTEES et al. : Docket No. 2004-0592  
Serial No. 10/824,345 : Group Art Unit 1614  
Filed April 15, 2004 : Examiner - Not yet assigned

2-OXO-1-PYRROLIDINE DERIVATIVES, :  
PROCESS FOR PREPARING THEM  
AND THEIR USES

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached Form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.


3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached Form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office (United Kingdom) search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office (United Kingdom) search report citing one or more of the references is enclosed.
6. ☐ Statement Under 37 CFR 1.704(d)

Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart application, and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

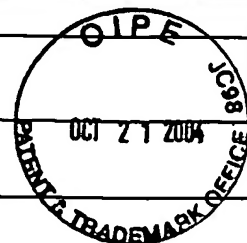
Respectfully submitted,

John SURTEES et al.

By   
Matthew M. Jacob  
Registration No. 25,154  
Attorney for Applicants

MJ/ksh  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
October 21, 2004

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)Date Submitted to PTO: October 21, 2004ATTY DOCKET NO.  
2004-0592SERIAL NO.  
10/824,345APPLICANT  
John SURTEES et al.FILING DATE  
April 15, 2004GROUP  
1614

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AF						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AG	Chemical Abstract No. 122:132952, N. A. Orlova, "Reaction of N-silylated lactams with .alpha.-bromocarboxylic acid esters", <u>Zh. Obshch. Khim.</u> , Vol. 62, No. 10, pp. 2277-2281, 1992
	AH	Chemical Abstract No. 119:269317, R. Tressel, "Formation of pyrroles, 2-pyrrolidones, and pyridones by heating of 4-aminobutyric acid and reducing sugars", <u>J. Agric. Food Chem.</u> , Vol. 41, No. 11, pp. 2125-2130, 1993
	AI	Chemical Abstract No. 118:101236, B. El Ali, "Formic acid-palladium acetate-1,4-bis (diphenylphosphino)butane: an effective catalytic system for regioselective hydrocarboxylation of simple and functionalized olefins", <u>J. Mol. Catal.</u> , Vol. 77, No. 1, pp. 7-13, 1992
	AJ	"Levetiracetam", <u>Drugs of the Future</u> , Vol. 19, No. 2, pp. 111-113, 1994
	AK	X. Li, et al., "An efficient synthesis of chiral homophenylalanine derivatives via enantioselective hydrogenation", <u>Tetrahedron: Asymmetry</u> , Vol. 10, pp. 3863-3867, 1999
	AL	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include cop. this form with next communication to applicant.

Sheet 1-of 2		INFORMATION DISCLOSURE STATEMENT						
FORM PTO 1449 ( modified )  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  LIST OF REFERENCES CITED BY APPLICANT(S) <i>(Use several sheets if necessary )</i>  Date Submitted to PTO: <b>October 21, 2004</b>			ATTY DOCKET NO. 2004-0592  APPLICANT John SURTEES et al.		SERIAL NO. 10/824,345  FILING DATE April 15, 2004		GROUP 1614	
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	4,696,942	09/1987	Gobert et al.				
	AB	4,837,224	06/1989	Gobert et al.				
	AC	4,943,639	07/1990	Gobert et al.				
	AD	4,997,955	03/1991	Merger et al.				
	AE	5,447,952	09/1995	Wulfert et al.				
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AF	2 225 322	05/1990	Great Britain				
	AG	0 645 139	03/1995	Europe			X	
	AH	0 295 553	12/1988	Europe			X	
	AI	0 165 919	12/1985	Europe			X	
	AJ	WO 01/39779	06/2001	WIPO				
	AK	WO 02/26705	04/2002	WIPO				
OTHER DOCUMENT(S) <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
	AL	K. Goodall, et al., "A Radical Cyclisation Approach to Pyroglutamates", <u>Tetrahedron</u> , Vol. 52, No. 19, pp. 6739-6758, 1996, w/abstract						
	AM	Chemical Abstract No. 128:283072, S. S. Yoon, "An enantioselective peptide-binding receptor", <u>Bull. Korean Chem. Soc.</u> , Vol. 19, No. 2, pp. 254-257, 1998						
	AN	Chemical Abstract No. 125:327679, B. El Ali, "A novel Rh-PCy3-CO-HCOOH catalytic system for the regioselective conversion of alkenes to aldehydes", <u>J. Mol. Catal. A</u> , Vol. 112, No. 2, pp. 195-201, 1996						
	AO	Chemical Abstract No. 125:275570, M. M. Zobacheva, "4-Aryl-2-pyrrolidones in reaction with esters of .alpha.-chlorocarboxylic acids", <u>Zh. Org. Khim.</u> , Vol. 32, No. 3, pp. 474-475, 1996						
	AP	Chemical Abstract No. 122:71265, H. Shin, "Identification of the new metabolites of pyrovalerone by various derivatization methods in the rat urine", <u>Korean Biochem. J.</u> , Vol. 27, No. 5, pp. 357-361, 1994						
EXAMINER				DATE CONSIDERED				

